



3 PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANTS: Byron B. Han *et al.*
APPLICATION NO.: 09/990,887
FILING DATE: November 21, 2001
TITLE: STORAGE VOLUME HANDLING SYSTEM WHICH UTILIZES DISK IMAGES
EXAMINER: UNKNOWN
GROUP ART UNIT: 2754
ATTY. DKT. NO.: 18602-06514 (P2016R1)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, DC 20231, on the date shown below:

Dated: March 29, 2002

By:

Kirk A. Gottlieb, Reg. No. 42,596

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

RESPONSE TO NOTICE TO FILE MISSING
PARTS OF REISSUE APPLICATION

SIR:

Responsive to the Notice to File Missing Parts of Reissue Application dated February 21, 2002 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ original, signed Reissue Application: Declaration by the Inventor (3 documents);
- ☒ a Consent of Assignee and Certificate Under 37 C.F.R. § 3.73(b);
- ☒ an Application Data Sheet;

☒ payment in the amount of \$1,470.00 for the

☒ application filing fee;

☒ fee for additional claims; and

☒ missing parts surcharge.

☒ Other - Information Disclosure Statement, PTO-1449, 19 prior art references.

☐ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,

BYRON B. HAN *et al.*

Dated: March 29, 2002

By: 

Kirk A. Gottlieb, Reg. No. 42,596

Attorney for Applicants

Fenwick & West LLP

Two Palo Alto Square

Palo Alto, CA 94306

Tel.: (415) 875-2414

Fax: (415) 281-1350

M24
+



0001/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		Application Number	09/990,887
TRANSMITTAL FORM be used for all correspondence during pendency of filed application)				Filing Date	November 21, 2001
				First Named Inventor	Byron B. Han et al.
				Group Art Unit Number	2754
				Examiner Name	Unknown
Total Number of Pages in This Submission		25*	Attorney Docket Number		18602-06514 (P2016R1)

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts of Reissue <input checked="" type="checkbox"/> Copy of Notice to File Missing Parts of Reissue <input checked="" type="checkbox"/> Reissue Application: Declaration by the Inventor (x3) <input checked="" type="checkbox"/> Consent of Assignee & Cert. Under 3.73(b) <input checked="" type="checkbox"/> Application Data Sheet <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 <input checked="" type="checkbox"/> Copies of 19 IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS: *references not included in page count	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Kirk A. Gottlieb, Reg. No. 42,596	Dated:	March 29, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Kirk A. Gottlieb	Dated:	March 29, 2002
Express Mail Mailing Number (optional):			

0002/PTO(modified) Rev. 10/2000 U.S. Department of Commerce Patent and Trademark Office	<table border="1" style="width:100%"> <tr> <th colspan="2">Complete if Known</th> </tr> <tr> <td>Application Number</td> <td>09/990,887</td> </tr> <tr> <td>Filing Date</td> <td>November 21, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Byron B. Han et al.</td> </tr> <tr> <td>Group Art Unit</td> <td>2754</td> </tr> <tr> <td>Examiner Name</td> <td>UNKNOWN</td> </tr> <tr> <td>Attorney Docket Number</td> <td>18602-06514</td> </tr> </table>	Complete if Known		Application Number	09/990,887	Filing Date	November 21, 2001	First Named Inventor	Byron B. Han et al.	Group Art Unit	2754	Examiner Name	UNKNOWN	Attorney Docket Number	18602-06514
Complete if Known															
Application Number	09/990,887														
Filing Date	November 21, 2001														
First Named Inventor	Byron B. Han et al.														
Group Art Unit	2754														
Examiner Name	UNKNOWN														
Attorney Docket Number	18602-06514														

0002/PTO(modified) Rev. 10/2000 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE FEE TRANSMITTAL TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$ 1,470.00)	FEE CALCULATION (continued)
---	------------------------------------

1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. † <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other	3. ADDITIONAL FEES <table border="1" style="width:100%"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>105/\$130</td> <td>205/\$65</td> <td>Surcharge - late filing fee or oath</td> <td>130</td> </tr> <tr> <td>127/\$50</td> <td>227/\$25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>147/\$2,520</td> <td>147/\$2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>115/\$110</td> <td>215/\$55</td> <td>Extension for response within first month†</td> <td></td> </tr> <tr> <td>116/\$400</td> <td>216/\$200</td> <td>Extension for response within second month†</td> <td></td> </tr> <tr> <td>117/\$920</td> <td>217/\$460</td> <td>Extension for response within third month†</td> <td></td> </tr> <tr> <td>118/\$1,440</td> <td>218/\$720</td> <td>Extension for response within fourth month†</td> <td></td> </tr> <tr> <td>128/\$1,960</td> <td>228/\$980</td> <td>Extension for response within fifth month†</td> <td></td> </tr> <tr> <td>119/\$320</td> <td>219/\$160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>141/\$1,280</td> <td>241/\$640</td> <td>Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>142/\$1,280</td> <td>242/\$640</td> <td>Utility Issue Fee (Or Reissue)</td> <td></td> </tr> <tr> <td>143/\$460</td> <td>243/\$230</td> <td>Design Issue Fee</td> <td></td> </tr> <tr> <td>122/\$130</td> <td>122/\$130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>126/\$180</td> <td>126/\$180</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>179/\$740</td> <td>279/\$370</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>581/\$40</td> <td>581/\$40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146/\$740</td> <td>246/\$370</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149/\$740</td> <td>249/\$370</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td colspan="2"></td> <td>Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="2"></td> <td>Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="3">SUBTOTAL (3)</td> <td>(\$ 130)</td> </tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	130	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month†		116/\$400	216/\$200	Extension for response within second month†		117/\$920	217/\$460	Extension for response within third month†		118/\$1,440	218/\$720	Extension for response within fourth month†		128/\$1,960	228/\$980	Extension for response within fifth month†		119/\$320	219/\$160	Notice of Appeal		141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application		142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)		143/\$460	243/\$230	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		126/\$180	126/\$180	Submission of Information Disclosure Statement		179/\$740	279/\$370	Request for Continued Examination (RCE)		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))				Other fee (specify):				Other fee (specify):		SUBTOTAL (3)			(\$ 130)
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																						
105/\$130	205/\$65	Surcharge - late filing fee or oath	130																																																																																						
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet																																																																																							
147/\$2,520	147/\$2,520	For filing a request for reexamination																																																																																							
115/\$110	215/\$55	Extension for response within first month†																																																																																							
116/\$400	216/\$200	Extension for response within second month†																																																																																							
117/\$920	217/\$460	Extension for response within third month†																																																																																							
118/\$1,440	218/\$720	Extension for response within fourth month†																																																																																							
128/\$1,960	228/\$980	Extension for response within fifth month†																																																																																							
119/\$320	219/\$160	Notice of Appeal																																																																																							
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application																																																																																							
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)																																																																																							
143/\$460	243/\$230	Design Issue Fee																																																																																							
122/\$130	122/\$130	Petitions to the Commissioner																																																																																							
126/\$180	126/\$180	Submission of Information Disclosure Statement																																																																																							
179/\$740	279/\$370	Request for Continued Examination (RCE)																																																																																							
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)																																																																																							
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																							
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))																																																																																							
		Other fee (specify):																																																																																							
		Other fee (specify):																																																																																							
SUBTOTAL (3)			(\$ 130)																																																																																						

1. FILING FEE <table border="1" style="width:100%"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>101/\$740</td> <td>201/\$370</td> <td>Utility Filing</td> <td></td> </tr> <tr> <td>106/\$330</td> <td>206/\$165</td> <td>Design Filing</td> <td></td> </tr> <tr> <td>108/\$740</td> <td>208/\$370</td> <td>Reissue</td> <td>740</td> </tr> <tr> <td>114/\$160</td> <td>214/\$80</td> <td>Provisional Filing</td> <td></td> </tr> <tr> <td colspan="3">SUBTOTAL (1)</td> <td>(\$ 740)</td> </tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$740	201/\$370	Utility Filing		106/\$330	206/\$165	Design Filing		108/\$740	208/\$370	Reissue	740	114/\$160	214/\$80	Provisional Filing		SUBTOTAL (1)			(\$ 740)	2. CLAIMS <table border="1" style="width:100%"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>103/\$18</td> <td>203/\$9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102/\$84</td> <td>202/\$42</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104/\$280</td> <td>204/\$140</td> <td>Multiple dependent claim</td> </tr> <tr> <td>109/\$84</td> <td>209/\$42</td> <td>Reissue independent claims over original patent</td> </tr> <tr> <td>110/\$18</td> <td>210/\$9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$84	202/\$42	Independent claims in excess of 3	104/\$280	204/\$140	Multiple dependent claim	109/\$84	209/\$42	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																								
101/\$740	201/\$370	Utility Filing																																									
106/\$330	206/\$165	Design Filing																																									
108/\$740	208/\$370	Reissue	740																																								
114/\$160	214/\$80	Provisional Filing																																									
SUBTOTAL (1)			(\$ 740)																																								
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description																																									
103/\$18	203/\$9	Claims in excess of 20																																									
102/\$84	202/\$42	Independent claims in excess of 3																																									
104/\$280	204/\$140	Multiple dependent claim																																									
109/\$84	209/\$42	Reissue independent claims over original patent																																									
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																									

SUBMITTED BY Typed or Printed Name Kirk A. Gottlieb Signature	Complete (if applicable) Reg. Number 42,596 Date March 29, 2002
---	--

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/990,887	11/21/2001	Byron B. Han	18602-06514

CONFIRMATION NO. 2185

FORMALITIES LETTER



OC000000007506821

APR 08 2002
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306

Date Mailed: 02/21/2002

NOTICE TO FILE MISSING PARTS OF REISSUE APPLICATION

Filing Date Granted

An application number and filing date have been accorded to this reissue application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$600.
 - \$180 for 10 total claims over 20.
 - \$420 for 5 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1470.**
- Assignee's statement under 37 CFR 3.73(b) establishing ownership of the patent is missing. 37 CFR 1.172 requires that all assignees consenting to the reissue application establish their ownership interest in the patent by filing in the reissue application a statement in accordance with 37 CFR 3.73(b).

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/09/2002 YPULITE1 00000001 09990887

740.00
420.00
180.00
130.00

01 FC:108
02 FC:109
03 FC:110
04 FC:105